Senior Assessment Team
April 25, 2012

Carl Shelton
Deputy Inspector General

Office of the Inspector General
U.S. Marine Corps

IGMC Overview

Agenda

- History
- Organization
- IGMC Mission - Functions
- Oversight Strategy
- CMC Guidance
- Details about execution
- Points of contact

Development

- Army maintained the office of Inspector General after Gen Von Steuber
- Navy & Marine Corps – inspections were the responsibility of the Comm
- U.S. Navy established an Inspector General 1942
- Marine Corps established an Inspector General 1943
- Air Force established the office of the Inspector General 1948
  - Service as the “eyes, ears and conscious of the commander”
  - Assesses adherence to rules and regulations of the service
  - Assesses military fitness and unit readiness
  - Teach and train military proficiency (drills, maintenance, subsistenc
  - Investigate complaints and make recommendations
  - Conduct regular inspections of units, stations and posts

Office of the Naval Inspector General

USC › Title 10 › Subtitle C › Part I › Chapter 503 › § 5020

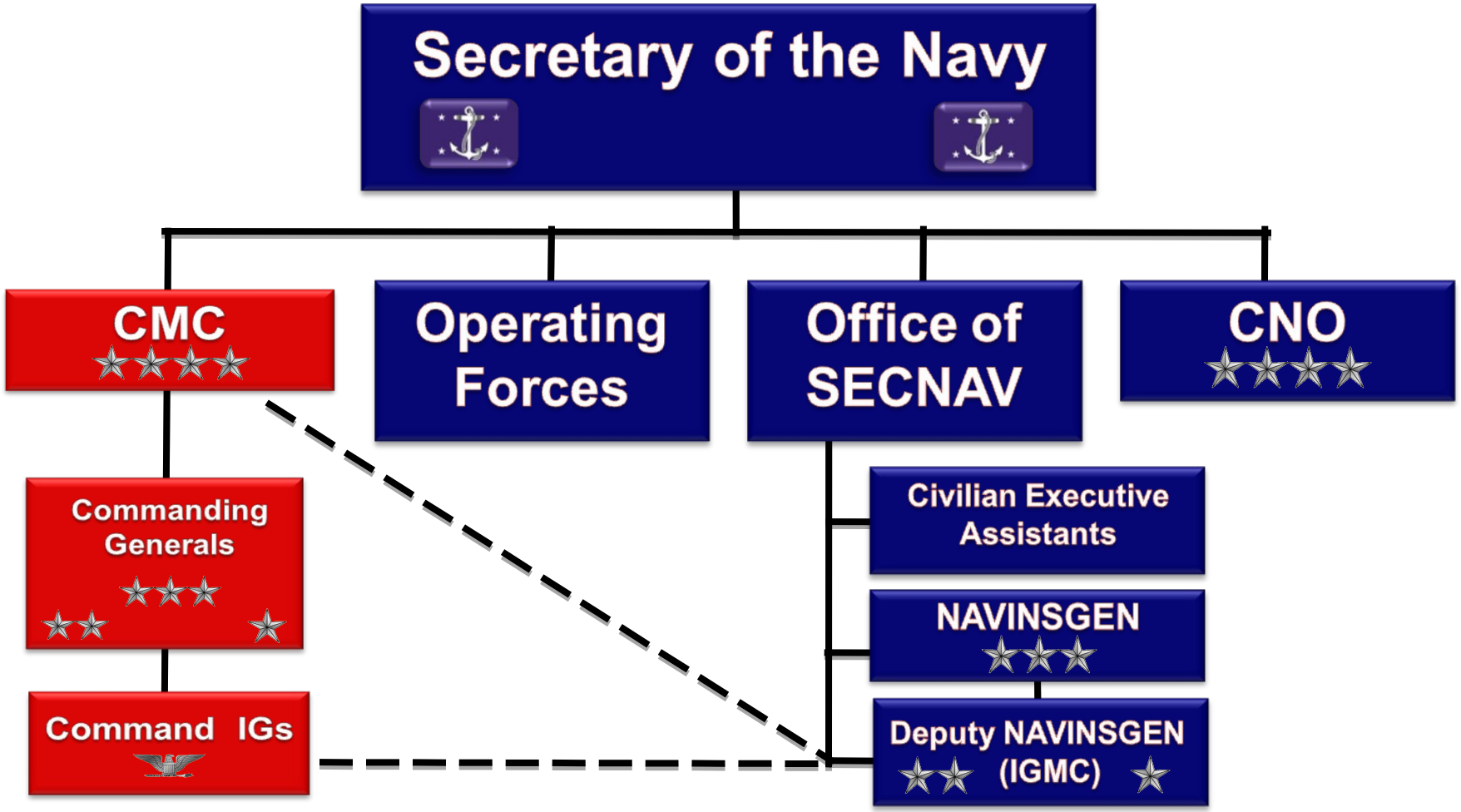
1. There is in the Office of the Secretary of the Navy the Office of the Naval Inspector General. The Naval Inspector General shall be detailed from officers on the active-duty list in the line of the Navy serving in grades above captain.

2. The Naval Inspector General, when directed, shall inquire into and report upon any matter that affects the discipline or military efficiency of the Department of the Navy. He shall make such inspections, investigations, and reports as the Secretary of the Navy or the Chief of Naval Operations directs.

3. The Naval Inspector General shall cooperate fully with the Inspector General of the Department of Defense in connection with the performance of any duty or function by the Inspector General of the Department of Defense under the Inspector General Act of 1978 (5 App. U.S.C. 3) regarding the Department of the Navy.

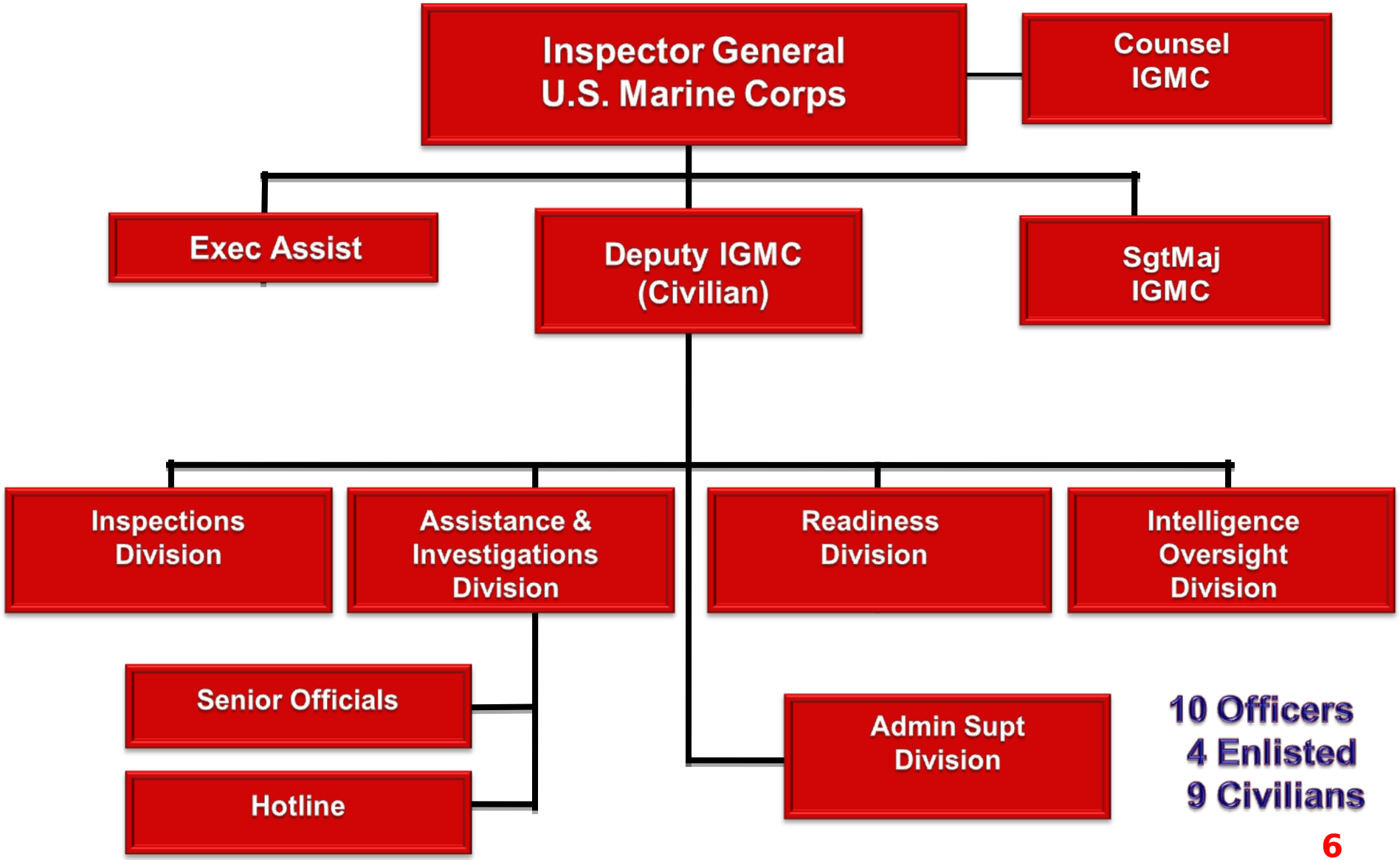
4. The Naval Inspector General shall periodically propose programs of inspections to the Secretary of the Navy and shall recommend additional inspections and investigations as may appear appropriate.

Relationships

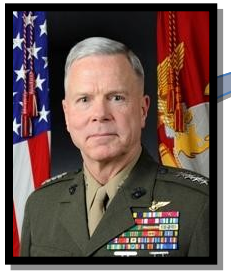


SECNAVINST 5430. 57G

IGMC Organization



10 U.S.C. 5042



General James F. Amos
Commandant, USMC

USC TITLE 10

Subtitle C

United States Marine Corps
Part I
Chapter 506, 5042

Organize, Train and Equip Marines forces for combat operations, …ready when the nation is least ready

MARINE CORPS ORDER 5040.6

MARINE CORPS READINESS INSPECTIO
AND ASSESSMENTS

- IGMC Inspection Program enforces Title 10 compliance
- MSCs come under the scrutiny of IGMC
  - Command Inspection Program (CIP) for MSCs
  - Unit Inspection Program (UIP) for units without GO
    - HMX-1
    - PAX River
- MSCs have Command IGs (CIG)
- Units are inspected 2-3 year cycle
- Functional Area (FA) Managers maintain accuracy of MCOs
- There are currently 117 functional areas
- All units are assessed for compliance on a minimum of 30 FAs
- Units are assessed to be
  - Mission Capable
  - Not Mission Capable
- Units have 30 days to address deficiencies
  - Findings indicate trends
  - Discrepancies are minor errors – some fixed immediately

Sample Functional Areas

Command Inspection Program	Request Mast
Training	Education
Medical	Dental
Promotion	Legal
Public Affairs	SACO

IGMC Mission

Mission

The IGMC Team will promote USMC combat readiness, integrity, efficiency and effectiveness and credibility throughout the Marine Corps in order to enhance expeditionary warfighting and mission capabilities.

Vision

Ensure the highest standard of ethical leadership, respect, and quality of life for our Marines, Sailors, and civilian Marines.

IGMC Mission

"…to be the eyes and ears of the Commandant."

Marine Corps Manual

Inspector General

"A typical IG is a man past middle age, spare, wrinkled, cold, passive, non-committal, with eyes of a codfish, polite in contact, but at the same time unresponsive, calm, and damnably composed as a concrete post or a plaster of paris cast, a human petrification with a heart of feldspar and without charm or friendly germ, minus bowels, passion, or a sense of humor. Happily, they never reproduce and all of them finally go to hell."

-- Gen George S. Patton, Jr.

CMC Guidance

IMPROVE

- Operational Readiness
- Quality of Life
- Safety
- Efficiency

ENHANCE

- Marine Corps Ethos

ENSURE

- Compliance with Regulations

The Command must benefit from IGMC visit !!

CMC Special Interests

General James F. Amos
Commandant, US Marine Corps

1. Home Station Readiness
2. Family Readiness
3. USMC Standards (Unit/Individual)
4. Compliance with Regulations
5. Keeping the Faith

Department of the Navy Oversight Planning Board

HON Robert O. Work
Under Secretary of the Navy

Gen. Joseph F. Dunford
Assistant Commandant

Adm Marc E. Ferguson III
Vice Chief of Naval Operations

Navy – Marine Corps

Oversight Planning

Department of the Navy
Oversight Planning Board
HON Robert O. Work
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Navy – Marine Corps

Background: In 2004, Secretary of the Navy, Hon. Gordon England raised concerns about the potential for excessive fraud, waste, abuse, mismanagement and misconduct in the prosecution of Operation Iraqi Freedom and Operation Enduring Freedom. He directed the formulation of an Oversight Planning Board consisting of Under Secretary of the Navy (Chair), Vice Chief of Naval Operations (Co-Chair) and Assistant Commandant of the Marine Corps (Co-Chair).

Mission: Coordinate the planning and execution of oversight conducted by the department's Inspectors Generals (Navy & Marine), Naval Audit Service, NCIS and Office of Acquisition Integrity.

Intent: Assess the potential risks to the Department of Navy and guide the oversight organizations opportunities to mitigate known and potential risks.

Oversight Planning

Risks are defined as:

- **Systemic Department of the Navy issues requiring executive-level attention;**
- **Programmatic and institutional risks that represent significant corporate-level challenges and opportunities**
- **Detailed explanation how the risk area as vulnerable i.e. what makes it prone or susceptible to a situation that would ultimately conflict with or threaten DON goals and objectives**

Opportunities are defined as:

Description of a specific solution to a pre-existing condition that is being handled locally but can be shared as a best practice or opportunity for others to emulate.

Oversight Planning

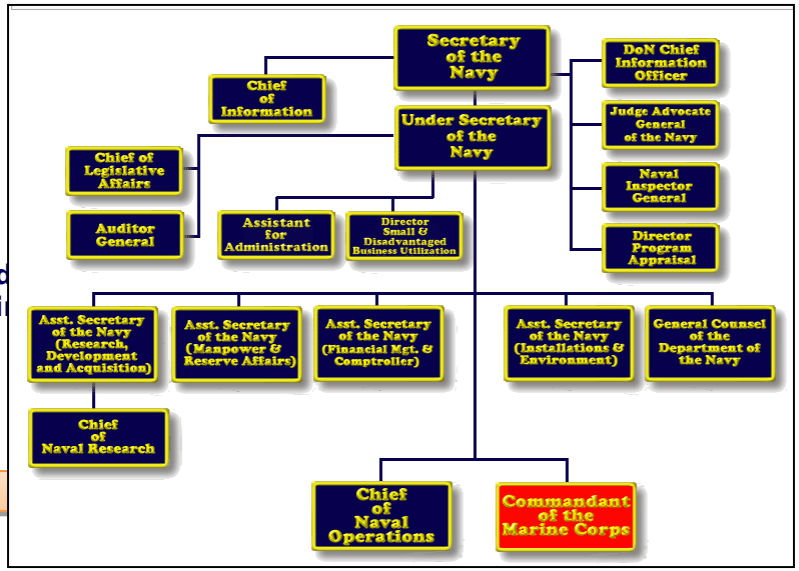
The following are the six phases to developing the Department of the Navy Oversight Strategy:

- **Phase I – Initiating Directives (1 Feb-1 Apr 2012)**
- **Phase II – Data Call (9 Apr – 1 May 2012)**
- **Phase III – Data Consolidation and Evaluation (1 May-1 Jun 2012)**
- **Phase IV - FY2013 Oversight Strategy Formulation (1 Jun-1 Aug 2012)**
- **Phase V – FY2013 Oversight Strategy Briefings to DON Staff (1 Aug–1 Sep 2012)**
- **Phase VI – FY2013 Oversight Strategy Briefed to SECNAV (1 Oct 2012)**

Oversight Planning

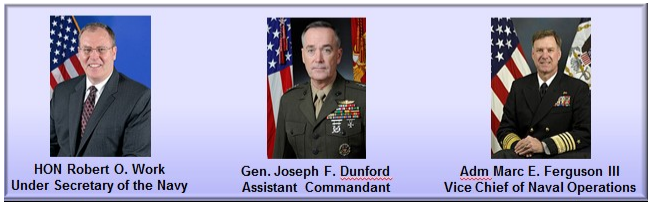
Oversight Agencies

SECNAV Staff


Secretary of the Navy
DoN Chief Information Officer
Chief of Information
Under Secretary of the Navy
Judge Advocate General of the Navy
Chief of Legislative Affairs
Naval Inspector General
Auditor General
Assistant for Administration
Director Small & Disadvantaged Business Utilization
Director Program Appraisal
Asst. Secretary of the Navy (Research, Development and Acquisition)
Asst. Secretary of the Navy (Manpower & Reserve Affairs)
Asst. Secretary of the Navy (Financial Mgt. & Comptroller)
Asst. Secretary of the Navy (Installations & Environment)
General Counsel of the Department of the Navy
Chief of Naval Research
Chief of Naval Operations
Commandant of the Marine Corps

Plan development sequence:

- Data received from subordinate command
- DON Staff, OPNAV Staff, HQMC Staff vetti
- Senior Leadership review and approval

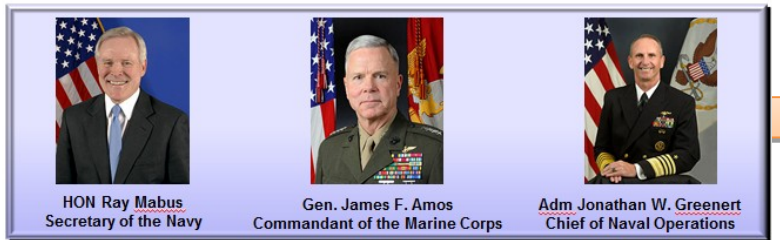


HON Robert O. Work
Under Secretary of the Navy

Gen. Joseph F. Dunford
Assistant Commandant

Adm Marc E. Ferguson III
Vice Chief of Naval Operations

Steering Board



HON Ray Mabus
Secretary of the Navy

Gen. James F. Amos
Commandant of the Marine Corps

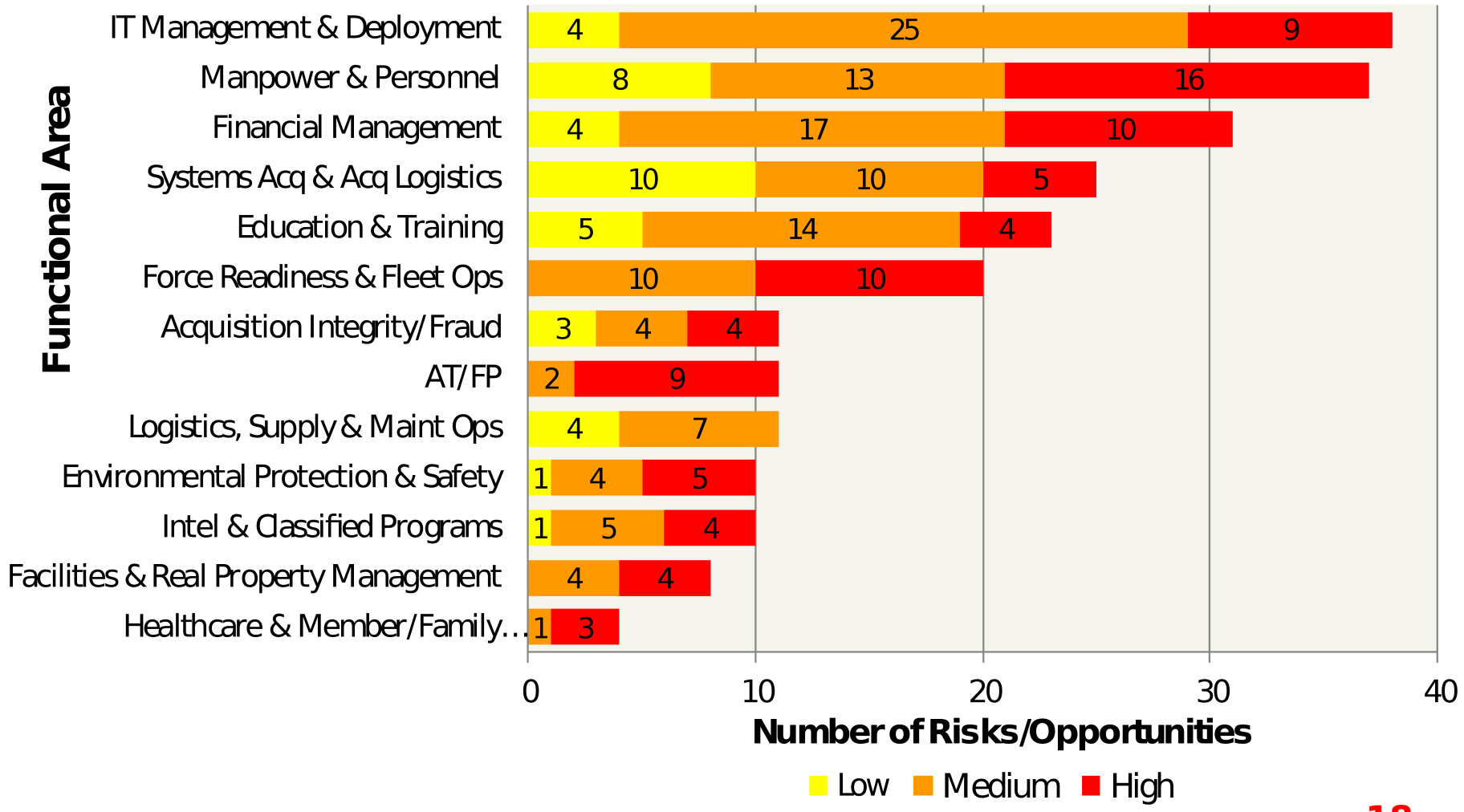
Adm Jonathan W. Greenert
Chief of Naval Operations

Senior Leadership Group

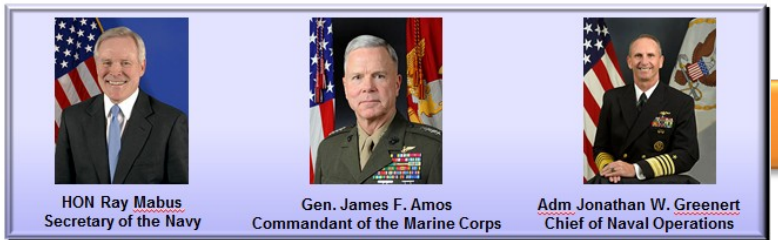
FY 2013 Risk and Opportunity Assessment and Oversight Plan

Presented: 1 October 2012

FY12 Risks & Opportunities Submitted by Functional Area



Oversight Planning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Senior Leadership Group

IGMC Oversight Strategy Linkage

Assist, Assess, Inspect, Investigate, Intel Oversight, Teach and Train

- Units can expect a visit from the IGMC every 2 – 3 years
- SMEs from across the Marine Corps augment our IGMC Inspection Team
- The IGMC employs a functional checklist approach for our inspections process

IGMC FY-12 Oversight Plan

Readiness Assessments	Command Inspections	Intelligence Oversight	Investigations Inquiries
SECNAV Special Projects	**Core Functional Areas**	SCIF compliance	Hotline Programs*
CMC/ACMC Special Projects	**CMC Special Interest Topics**		Senior Officials
Afghanistan Equip Readiness	Home Station Readiness		Special Inquiries
Civilian Military Police	Family Readiness		
Chemical, Biological Incident	USMC Standards (Unit/Individual)		
Response Force (CBIRF)	Compliance with Regulations		
Chemical, Biological, Radiological and Nuclear (CBRN)	Keeping the Faith		
	CMC Areas of Concern		
	BCP**		
	Hazing**		
	Alcohol Abuse / Synthetic Drug Use**		
	Safety (Vehicle / Motorcycle)**		
	Combat Operational Stress**		
	Suicide Prevention		
	Sexual Assault Prevention and Response		
	DADT Repeal**		
	Statutory		
	Postal Affairs		
	Intelligence Oversight**		

Blue denotes statutory or mandated oversight requirements

Red denotes NAVIG/IGMC NAVAUD SVC coverage

* Denotes complementary coverage by NAVAUD SVC

** Denotes complementary coverage by NAVIG

3

IGMC Oversight Strategy Linkage

Assist, Assess, Inspect, Investigate, Intel Oversight, Teach and Train

MajGen David C. Garza
Inspector General

IGMC Oversight Strategy

Pro-Active

Inspection Programs

Improve:

- Operational readiness
- Quality of life
- Safety
- Efficiency

Enhance: Marine Corps ethos

Ensure: Compliance with regs.

Readiness Assessments

- Engage in Identified/Suspected Risk
- Narrow focus, high impact issues
- Vehicle for program/process change

Intelligence Oversight

- SCIF Inspections
- Compliance with handling of classified material
- Special Access Program
- Black Programs

SITE VISITS – RISK ASSESSMENT

Reactive

Assistance & Investigations

- Fraud, Waste, Abuse Hotline Program
- SecNav, CMC Special Interest Inquiries

Intelligence Oversight

- Procedure 15 process
- Questionable Activity
  - Spillage
  - Compromise
  - Violation of security protocols

Today's IG System

- Assistance
- Assessments
- Inspections
- Investigations
- Intelligence Oversight
- Teach and Train

"In order to enhance the Readiness, Warfighting, and Mission Capabilities of the Marine Corps"

INSPECTIONS DIVISION

Inspections Division

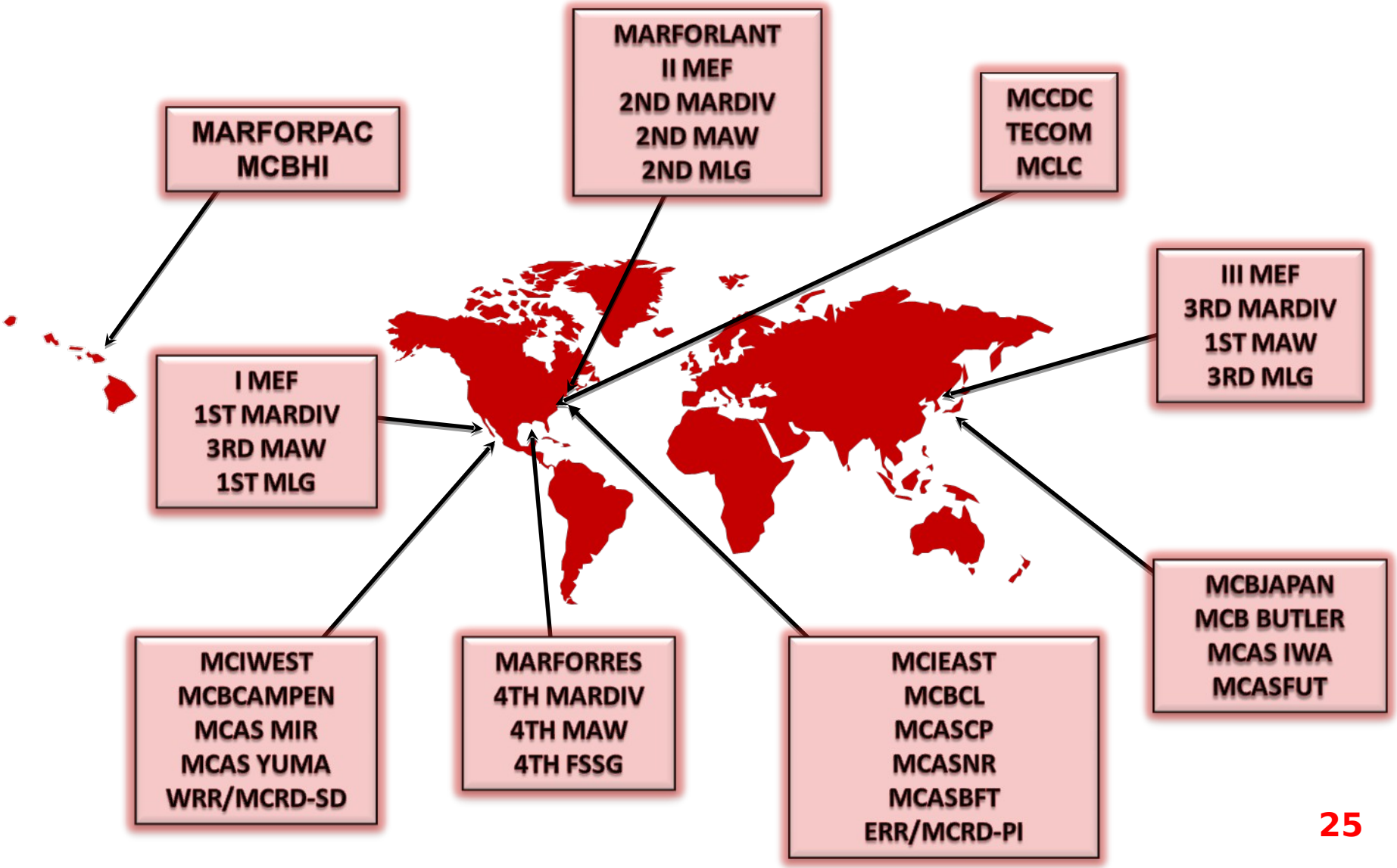
Functions

- Facilitate the Inspection Process
- Currently 122 Functional Areas checked
- Provide a productive learning experience
- Foster climate of trust and confidence
- Recognize excellence
- Uphold Commanders' authority
- Short or no notice
- Request Mast with IGMC
- Focus on Readiness!!!

Mission Capable

Not Mission Capable

Command Inspector General Locations



"Core" Functional Area Guide

Smaller units inspected with "Core" FAs, plus FAs tailored to their organization

Unit Inspection Program

Commanders

IGMC Core Functional Areas

1. Request Mast
2. Career Planning
3. Records Management
4. General Admin
5. Performance Eval Sys
6. Privacy Act
7. Promotion
8. Personnel Admin
9. Military Awards
10. MCTFS
11. Legal Admin
12. Postal Affairs
13. Casualty Affairs
14. Separation and Retirement
15. Transition Asst Mgt Program
16. Limited Duty
17. Safety (non-aviation)
18. Equal Opportunity Program
19. Substance Abuse
20. Voter Registration
21. Info & Personal Security
22. Physical Fitness Program
23. BCP & MAP
24. Unit Trng Mgt
25. Operational Security
26. Health Services Support
27. Dental
28. Bachelor Housing Mgt
29. SAPRP (Sexual Assault Prevention)
30. Unit Pers. & Family Readiness
31. Government Charge Card
32. Suicide Prevention
33. Hearing Conservation

All Units

Commanding Generals

Commanding General Inspection Program

IGMC inspects Command Inspection Program, "Core" FAs, and FAs tailored to their Command

- Core Functional Areas are inspected for all Marine Corps units.
- Unit Inspection Program – Smaller units with CO or OIC (Pax River, China Lake, 8th & I, HMX-1)
- Command Inspection Program – Major units with CG & assigned CIG, (MEF, MCI, DIV, WING, MLG)

IGMC Core Functional Areas

1. Request Mast
2. Career Planning
3. Records Management
4. General Admin
5. Performance Eval Sys
6. Privacy Act
7. Promotion
8. Personnel Admin
9. Military Awards
10. MCTFS
11. Legal Admin
12. Postal Affairs
13. Casualty Affairs
14. Separation and Retirement
15. Transition Asst Mgt Program
16. Limited Duty
17. Safety (non-aviation)
18. Equal Opportunity Program
19. Substance Abuse
20. Voter Registration
21. Info & Personal Security
22. Physical Fitness Program
23. BCP & MAP
24. Unit Trng Mgt
25. Operational Security
26. Health Services Support
27. Dental Readiness
28. Bachelor Housing Mgt
29. SAPRP (Sexual Assault Prevention
30. Unit Pers. & Family Readiness
31. Government Charge Card
32. Suicide Prevention
33. Hearing Conservation

Negative Trends

- Lack of focus on small issues with huge impact:
  - Training records
  - PME
  - Wpns Qual
  - Pro/Cons
  - Timely diary

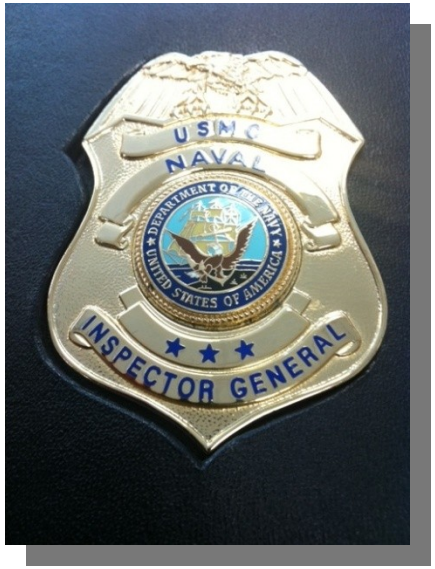
} **Composite Scores**

- Insufficient light duty/limited duty tracking
- Insufficient Fitness Report compliance and tracking
- Armory personnel lacking AA&E screening (police records check)
- Missing Statement of Understanding (SOU) for GTCC cardholders
- ATFP Unit Integration
- Substance Abuse education
- Medical/Dental Readiness slipping below 85% - MRRS

☐ Mission Capable	☒ Not Mission Capable
☐ Discrepancies	☐ Discrepancies
☐ Findings	☐ Findings

ASSISTANCE AND INVESTIGATIONS DIVISION

Marines



Hotline

Assistance and Investigations Division

Functions

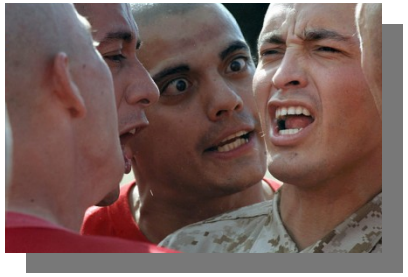
Hotline

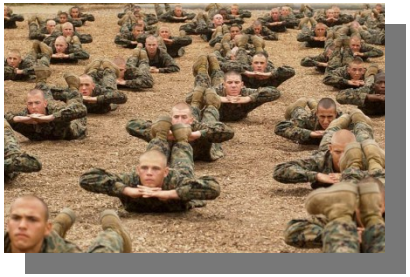
- Manage USMC HOTLINE Program
- Receive complaints of fraud, waste, abuse and mismanagement, and misconduct investigations as appropriate or directed.
- Conduct Senior Official Inquiries
- Screen all candidates for promotion, reassignment, retirement, school and command.
- Respond to Congressional Inquiries
- Respond to SECNAV/CMC inquiries
- Monitor special interest to the IGMC
- Mobile Training Team (MTT) for NAVINSGEN & IGMC
- Process FOIA and Privacy Act request

Common Allegations

- Abuse of authority
- Improper relationships/Adultery
- Hazing
- Non-support
- Recruiting violations
- Improper use of U.S. Government Assets
- Social Media conduct

Pitfalls for Leaders

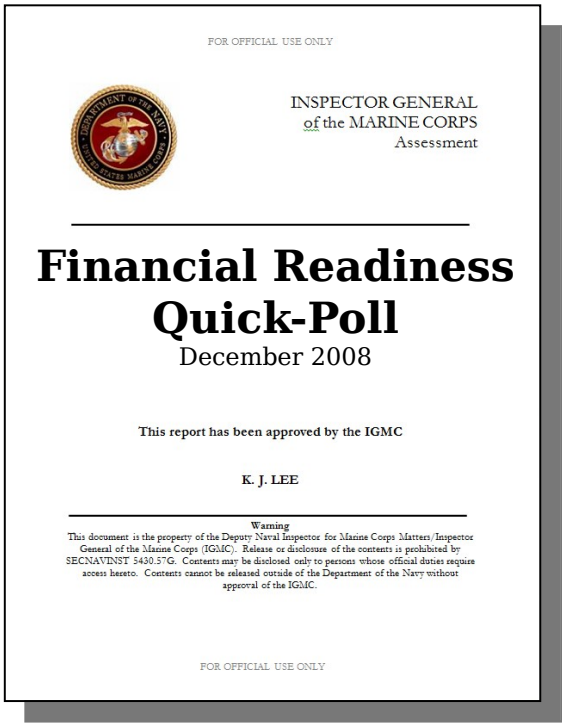




- "Make it happen" mentality
- Not considering appearance of actions
- Not conducting investigations
- Internalizing problems
- Failing to hold personnel accountable
- Not acting on suspicions

READINESS DIVISION

Readiness Division



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INSPECTOR GENERAL
of the MARINE CORPS
Assessment

Financial Readiness Quick-Poll

December 2008

This report has been approved by the IGMC

K. J. LEE

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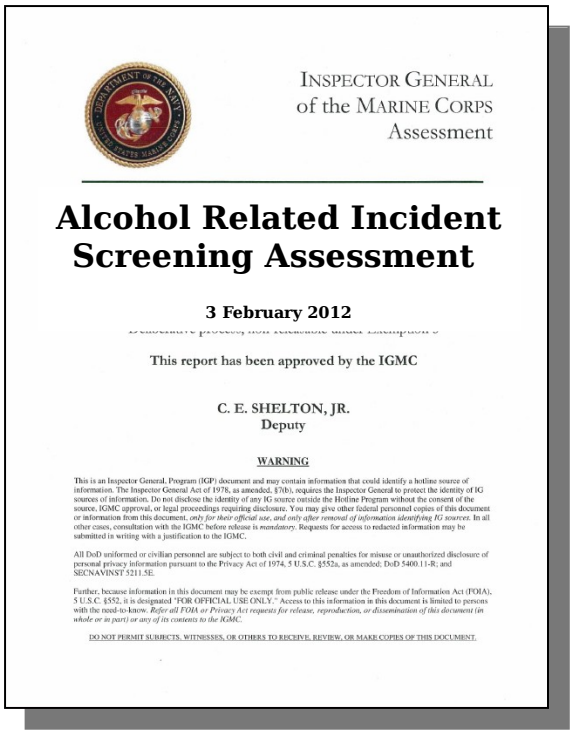

INSPECTOR GENERAL
of the MARINE CORPS
Assessment

Alcohol Related Incident Screening Assessment

3 February 2012

This report has been approved by the IGMC

C. E. SHELTON, JR.
Deputy

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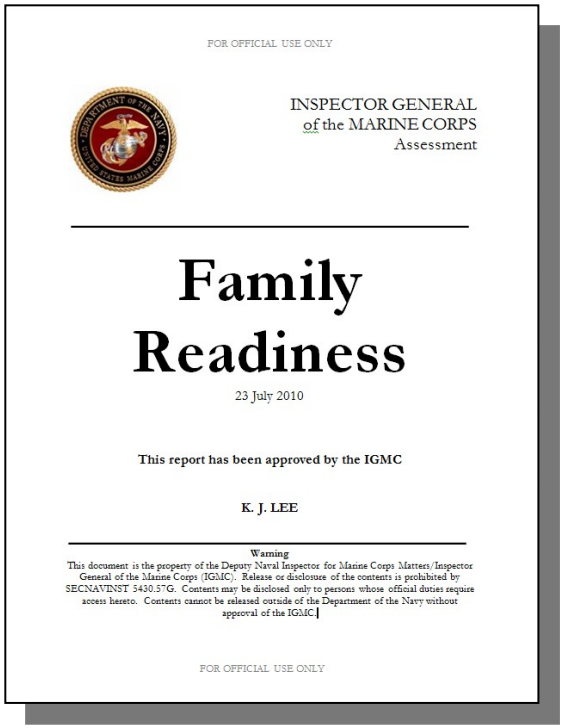

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INSPECTOR GENERAL
of the MARINE CORPS
Assessment

Family Readiness

23 July 2010

This report has been approved by the IGMC

K. J. LEE

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Readiness Assessments are impartial, in-depth analysis of systemic & programmatic issues of concern to the SecDef, SecNav, CMC, ACMC, IGMC

INTELLIGENCE OVERSIGHT DIVISION

Intelligence Oversight Division

Functions

- Monitors the administration of sensitive activities within the Marine Corps in order to ensure compliance.
- Coordinates with all government agencies with intelligence, law enforcement oversight responsibilities
- Provides special oversight to reduce the potential for:
  - Physical risk to DON personnel or property
  - Issues of unlawful/improper conduct
  - Public embarrassment

Top Secret
Secret
Confidential
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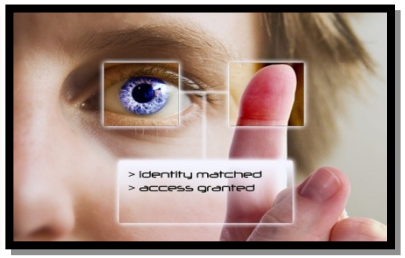


Intelligence Oversight

Security Compromise

I MEF Breach

WikiLeaks

Common Thread

- Sensitive Compartmented Info Facility (SCIF)
- Weak access controls
- Poor accountability of individual activity
- Weak internal classified document controls
- "Trust, … but verify"

Points of Contact

Staff # 703-604-4660/4661

MajGen David C. Garza	Inspector General
Mr. Carl Shelton	Deputy Inspector General
SgtMaj Gary Weiser	IG Sergeant Major
Mr. James Hill	Executive Assistant
Ms. Katherine Aldrich	IG Counsel
Ms. Cynthia E. Edwards	Director, Assist. & Investigations Div
Mr. Ed T. Vogt	Director, Intelligence Oversight Division
Col Russ Powers	Director, Inspection Division
Maj Kris Pirttinen	Director, Readiness Division
CWO4 Kenzell McClellan	Director, Admin Support Division

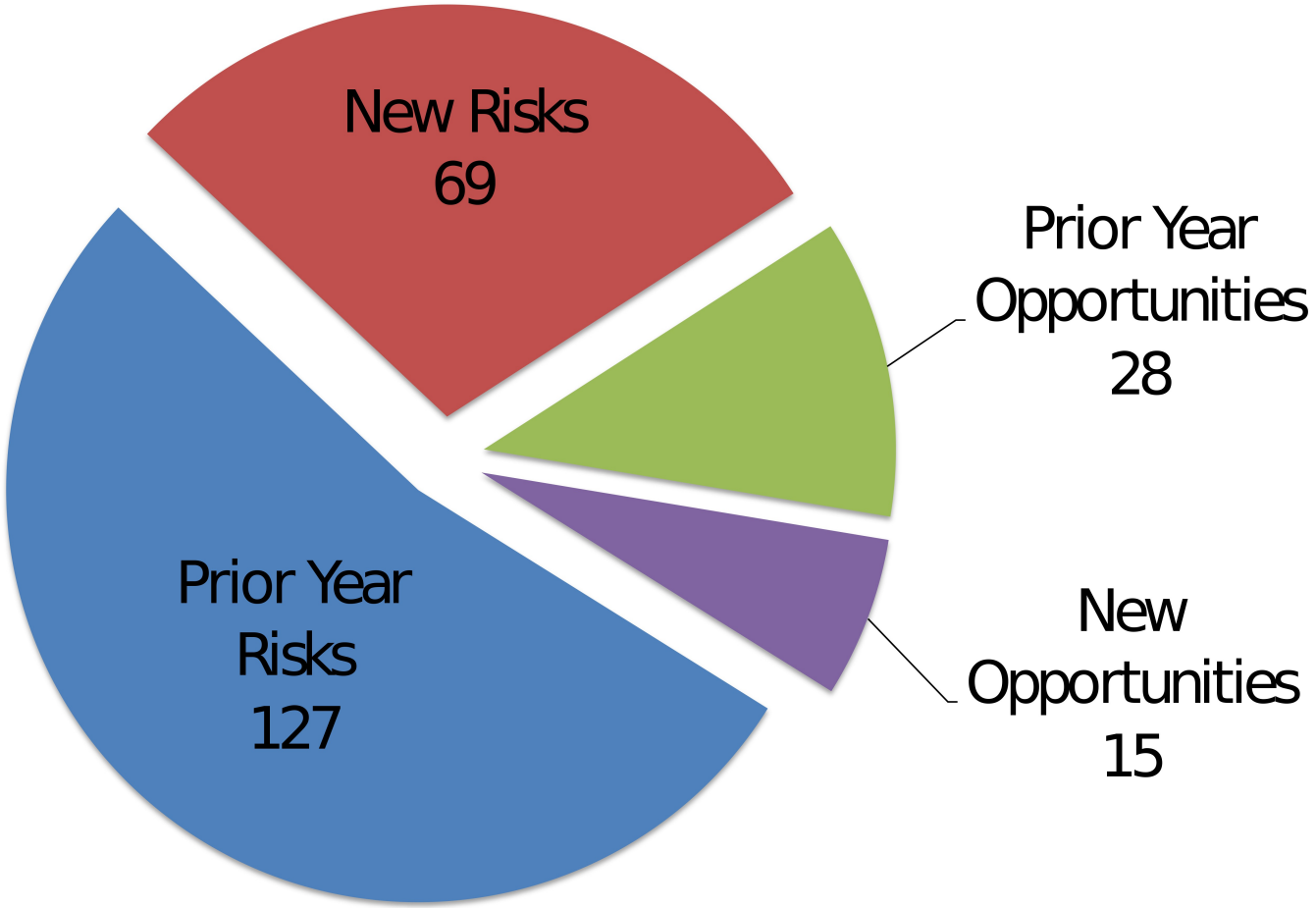
IGMC Hotline # 703-604-4526

What are your questions ?

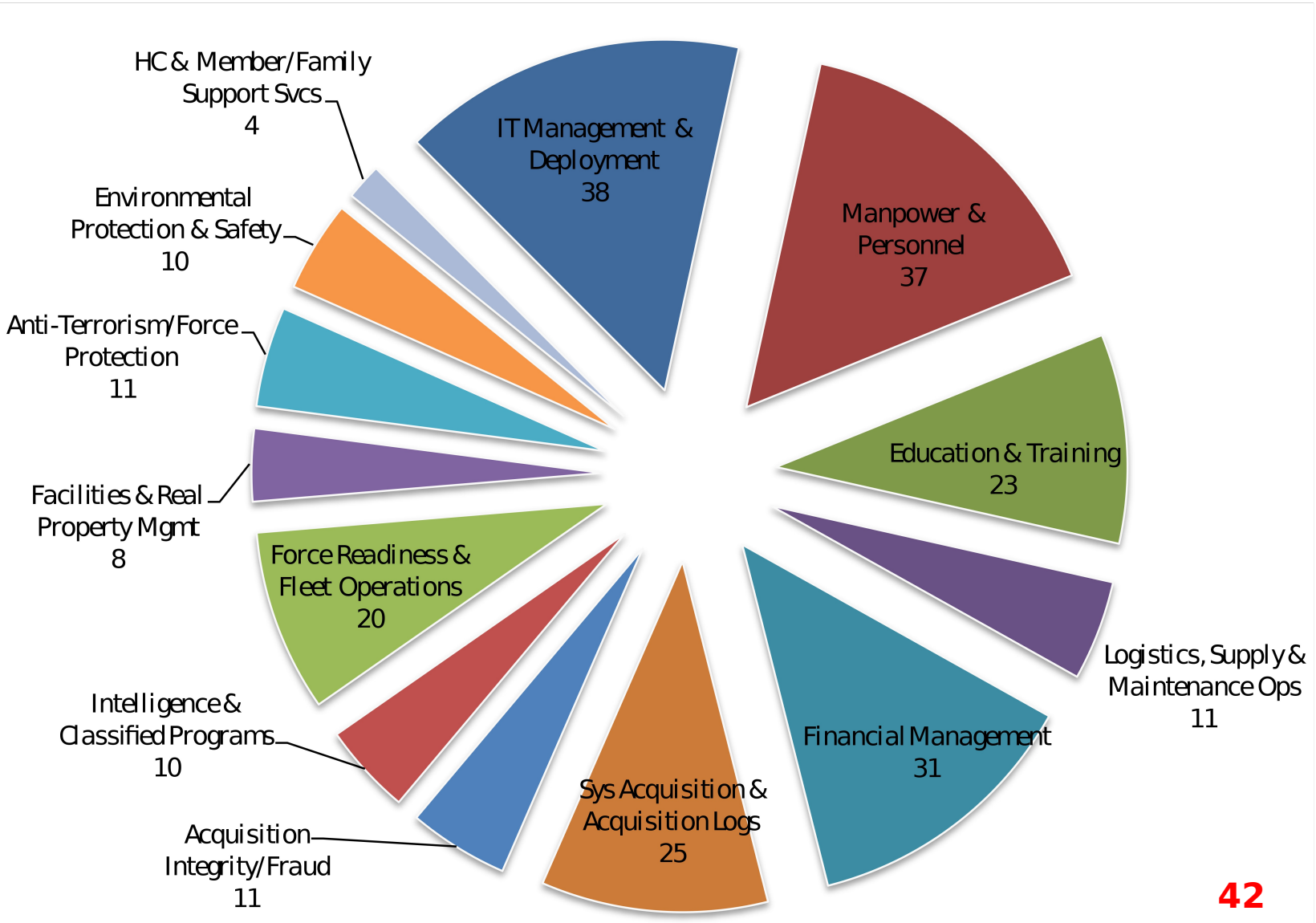
Office of the Inspector General

Back up slides

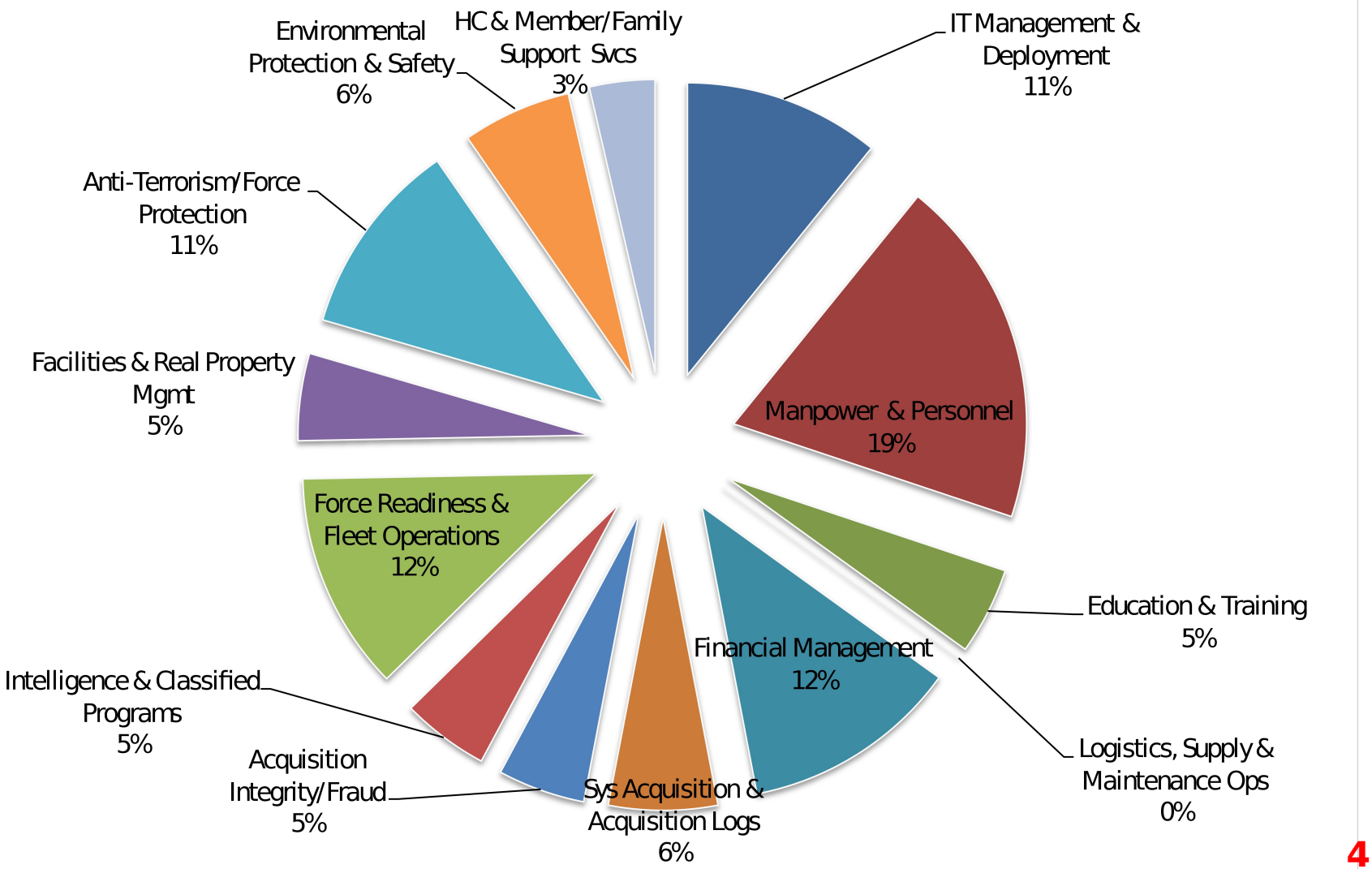
FY12 Risks & Opportunities Submitted



Risks & Opportunities Submitted by Functional Area


HC & Member/Family Support Svcs 4
IT Management & Deployment 38
Manpower & Personnel 37
Environmental Protection & Safety 10
Anti-Terrorism/Force Protection 11
Education & Training 23
Facilities & Real Property Mgmt 8
Force Readiness & Fleet Operations 20
Logistics, Supply & Maintenance Ops 11
Intelligence & Classified Programs 10
Financial Management 31
Sys Acquisition & Acquisition Logs 25
Acquisition Integrity/Fraud 11

High Risks Submitted by Functional Area


Environmental Protection & Safety 6%
HC & Member/Family Support Svcs 3%
IT Management & Deployment 11%
Anti-Terrorism/Force Protection 11%
Facilities & Real Property Mgmt 5%
Manpower & Personnel 19%
Force Readiness & Fleet Operations 12%
Education & Training 5%
Financial Management 12%
Intelligence & Classified Programs 5%
Logistics, Supply & Maintenance Ops 0%
Acquisition Integrity/Fraud 5%
Sys Acquisition & Acquisition Logs 6%

NAVINSGEN FY12 Oversight Plan

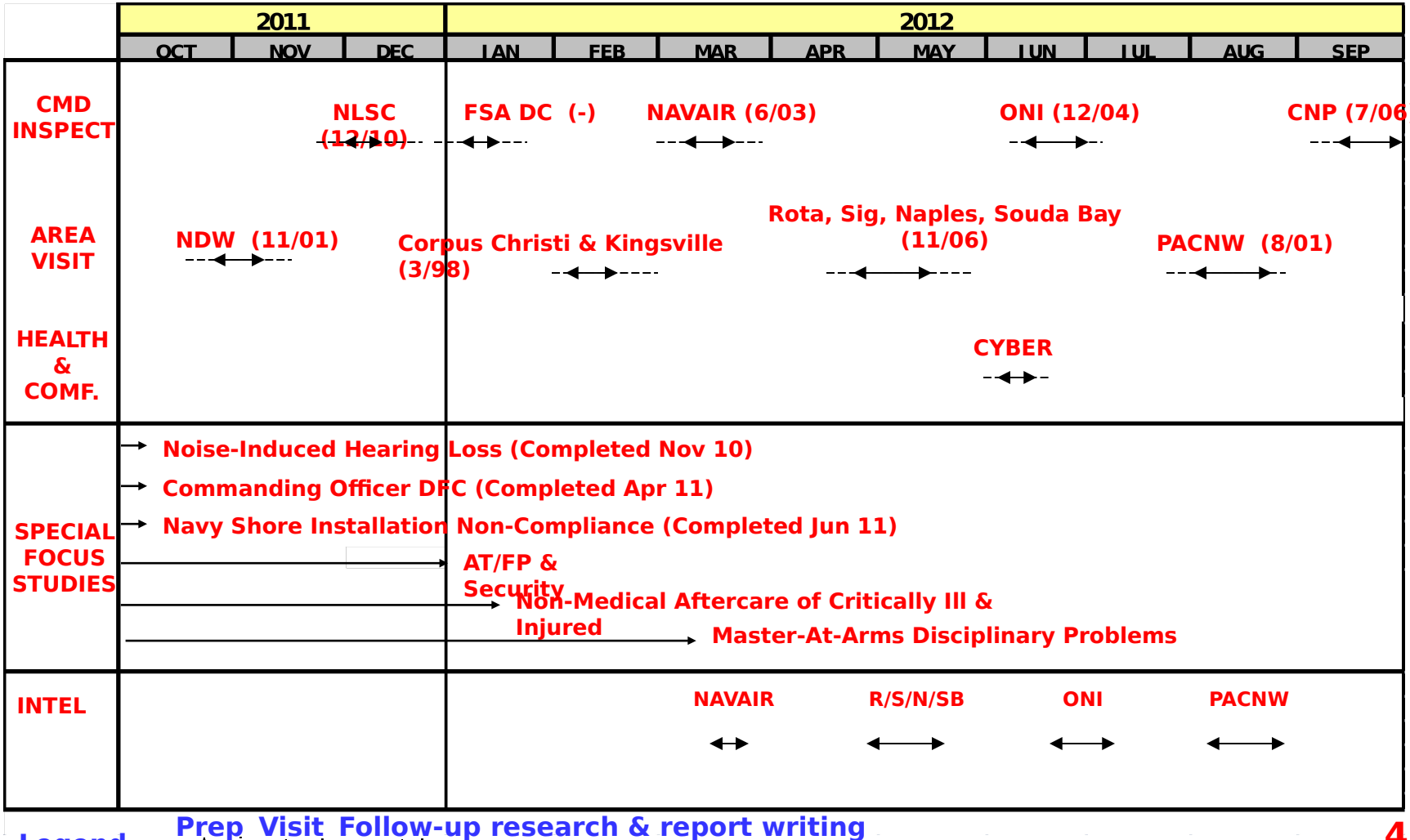
AREA VISITS	SPECIAL FOCUS STUDIES	COMMAND INSPECTIONS AND HEALTH & COMFORT VISITS	INVESTIGATIONS
AT / FP*	Non-Medical Aftercare Of Wounded and Ill (Concluding)	Material Weaknesses / Risk to Mission	Navy Hotline Program
IT Mgmt / Info Assurance Compliance / Monitoring	AT/FP & Security* (Concluding)	IT/IA Compliance*	Senior Officials
Healthcare	Master-at-Arms Disciplinary Problems (Ongoing)	RDT&E Counterintelligence Protection	
SRM / MILCON	Energy Efficiency (Proposed)	Waste Fraud & Abuse -Travel / Purchase / Property Mgmt	
Human Capital Mgmt Individual Augmentee (IA)	Overseas Housing (Proposed)	Intelligence* / SAP Oversight*	
Fraud, Waste & Mismanagement / MIC	Navy Mishap Data Management (Proposed)	Command SAPRO Program	
Property / Resource Mgmt	Civilian Hiring Process (Proposed)	Voting Assistance Program	
Member / Family Support Svcs* (PSD, NEX, MWR, Housing EFSC, Ombudsman)	Other topics as dictated throughout the year	Annual Training / GMT / PRT Program & Requirements	
Safety / Environment		Urinalysis Program	
Sexual Assault Programs*		Civilian Personnel Programs	
		Command Climate	
		Safety Oversight*	

Blue denotes statutory or mandated oversight requirements

Red denotes complementary coverage by NAVAUDSVC

* denotes complementary coverage by IGMC

NAVINSGEN FY12 Inspection Schedule



IGMC Oversight Strategy

Readiness Assessments	Command Inspections	Intelligence Oversight	Investigations Inquiries
SECNAV Special Projects CMC/ACMC Special Projects Afghanistan Equip Readiness Civilian Military Police Chemical, Biological Incident Response Force (CBIRF) Chemical, Biological, Radiological and Nuclear (CBRN)	Core Functional Areas CMC Special Interest Topics Home Station Readiness Family Readiness USMC Standards (Unit/Individual) Compliance with Regulations Keeping the Faith CMC Areas of Concern BCP Hazing Alcohol Abuse / Synthetic Drug Use Safety (Vehicle / Motorcycle) Combat Operational Stress Suicide Prevention Sexual Assault Prevention and Response DADT Repeal Statutory Postal Affairs Intelligence Oversight**	SCIF compliance	Hotline Programs* Senior Officials Special Inquiries

Blue denotes statutory or mandated oversight requirements

Red denotes NAVIG/IGMC NAVAUDSVC coverage

* Denotes complementary coverage by NAVAUDSVC

** Denotes complementary